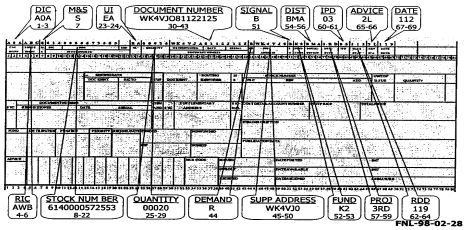
Obligating Documentation

- Task: Identify the process of obligating documents.
- Conditions: Given a scenario and form.
- Standards: Process an obligating document IAW DFAS 37-1

Transaction Stages
Cradle to Grave

- Authorization — FAD, MIPR, RDD
- Commitment — Admin Reservation
- Obligation — Legal (binding) Res of Funds
- Accrued Expense/Expenditure — Evidence that a Goo has been provided
- Disbursement — Payment for Good/Service



RM Obligation Responsibilities

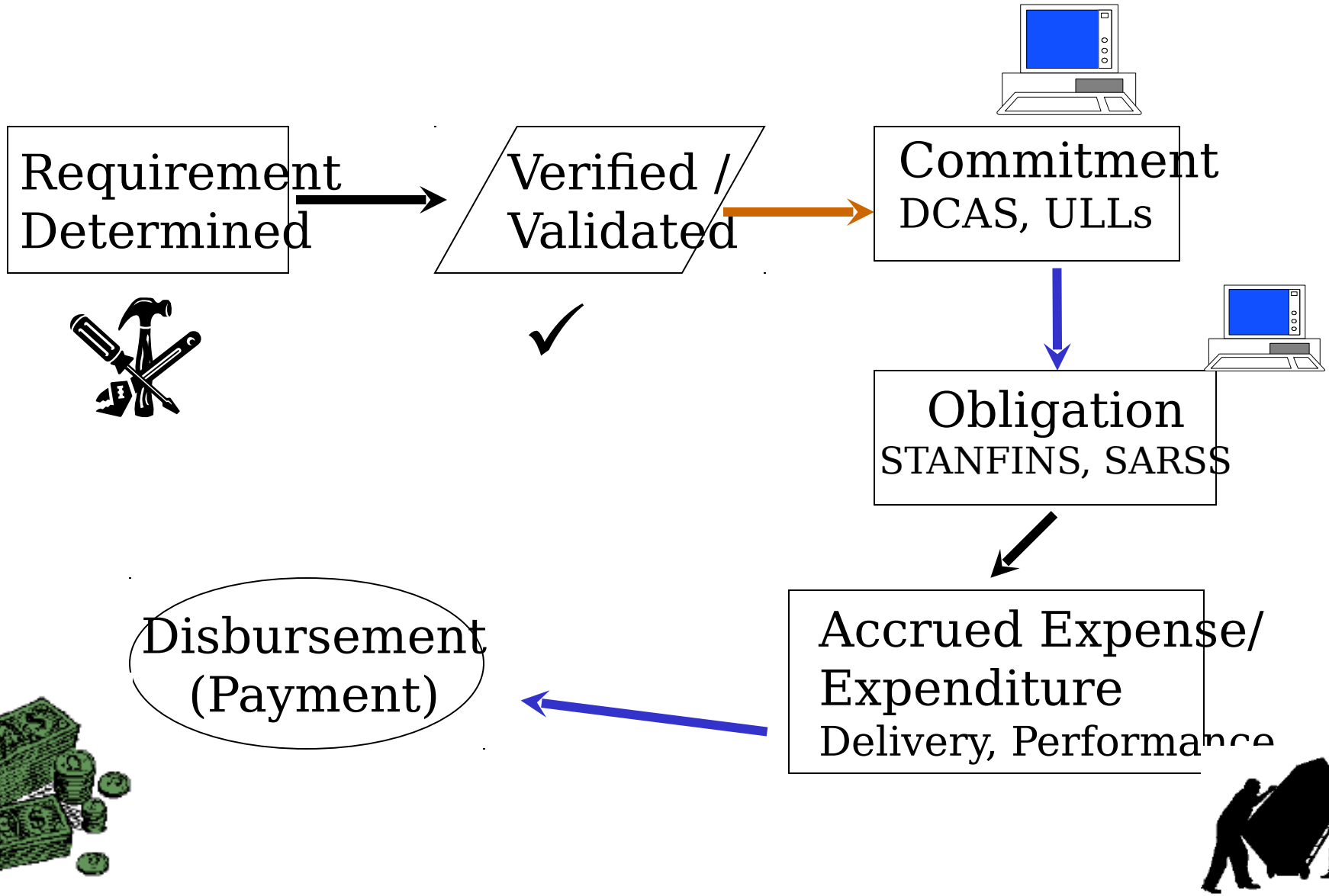
DFAS 37-1, CH 8, Title 31 U.S.C

- Review documents for compliance
- Ensure correct fund cite is annotated
  - Appropriate fund cite is used
    - Time
    - Purpose
    - Amount
- Recorded timely and accurately

Obligation Documents

- Automated and Manual
  - Method of Input Financial Systems
- Link need/requirement to funding source
  - Bill correct AMSCO
- Actual fund cite (fiscal code) listed on document
- Legal reservation of funds for a Bona Fide Need

Simple Process



RM Role in the Process

- Validate – ensure proper funds available as to
  - Time, Purpose, Amount
- Certify – fund cite & signature
- Commit – input commitment in DCAS
- Obligate – ensure commitment is obligated
- Monitor – track the progress
  - Non Stock Fund
  - Stock Fund

We are involved at every step!

Documents

- Travel Orders
  - DD 1610
- Military Interdepartmental Purchase Request
  - DD 448, DD 448-2
- Purchase Request

& Commitment DA 3953

- Standard Form 33
- DD 1155
- Standard Form 44
- Miscellaneous Obligation Document DD 2406

Travel Orders

Cradle to Grave

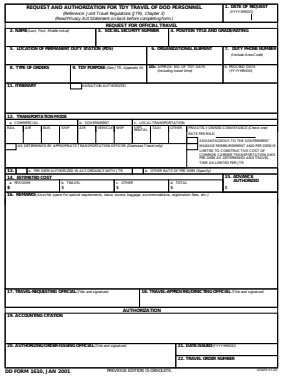
Travel of Persons on Official Business:

EOR 21T1/T2

- Request Validated
- DD 1610 (typical)
  - TCS
  - PCS
- Commit & Obligate
- Monitor NSFOP
- DD 1351-2 (Settlement)

Travel Orders

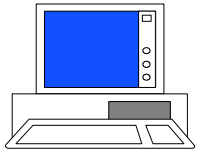
Cradle to Grave



Reqm't determined

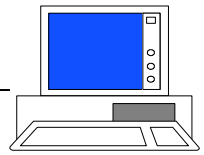
Valid

Fund Cert



Commit

DCAS



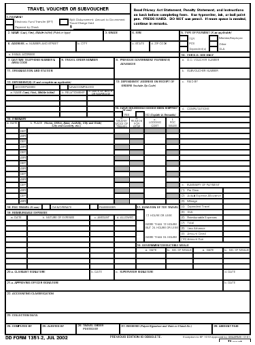
OBL

STANFINS

NSFOP

OBL AE/E DISB
100 121 121

1101 975 975



Military Interdepartmental Purchase Request (MIPR)

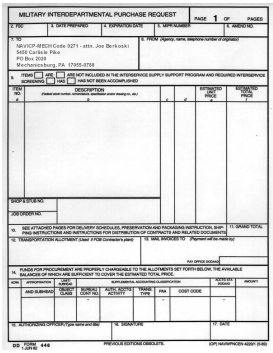
Request for Goods / Services from other Source

Multiple EORs

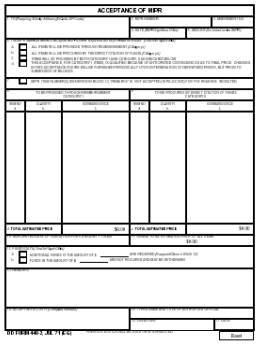
- DD 448 – defines request/requirement
  - Commitment document ALWAYS (DCAS)
  - Direct or Reimbursable
- DD448-2 – acceptance by provider
  - Obligating document (DCAS/STANFINS)
- Monitor NSFOP
  - AE/E
  - Disbursements
- Close

MIPR Flow

Transport Troop Requirement EOR 22NL



Request to TRANSCOM DD448 Commitment



TRANSCOM Acceptance DD448-2 Obligate

Service Rendered

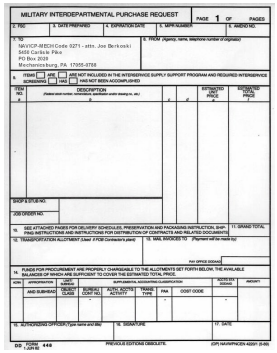
NSFOP

OBL AE/E DISB
100 121 121

1101 975 975

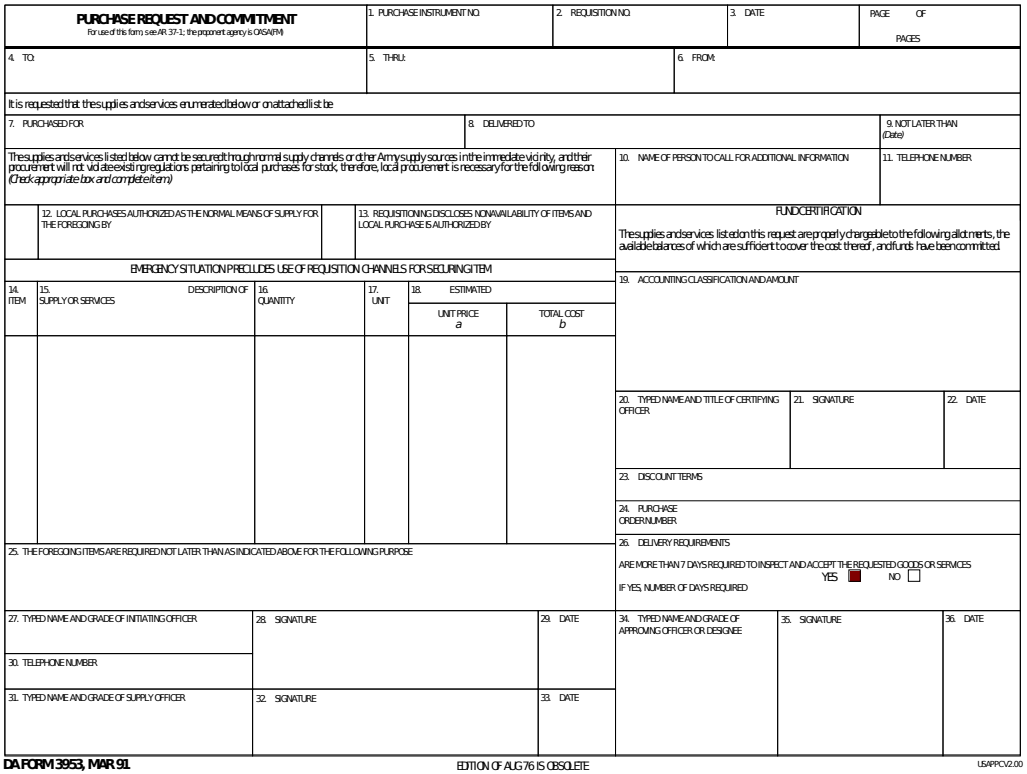
Monitor

Payment



Adjust & Close

Purchase Request and Commitment DA 3953



PURCHASE REQUEST AND COMMITMENT
For use of this form, see AR 37-1; the proponent agency is OASA(FM)

1. PURCHASE INSTRUMENT NO.
2. REQUISITION NO.
3. DATE
PAGE OF PAGES

4. TO:
5. THRU:
6. FROM:

It is requested that the supplies and services enumerated below or on attached list be

7. PURCHASED FOR
8. DELIVERED TO
9. NOT LATER THAN (Date)

The supplies and services listed below cannot be secured through normal supply channels or other Army supply sources in the immediate vicinity, and their procurement will not violate existing regulations pertaining to local purchases for stock, therefore, local procurement is necessary for the following reason: (Check appropriate box and complete item)

10. NAME OF PERSON TO CALL FOR ADDITIONAL INFORMATION
11. TELEPHONE NUMBER

12. LOCAL PURCHASES AUTHORIZED AS THE NORMAL MEANS OF SUPPLY FOR THE FOREGOING BY
13. REQUISITIONING DISCLOSES NONAVAILABILITY OF ITEMS AND LOCAL PURCHASE IS AUTHORIZED BY

EMERGENCY SITUATION PRECLUDES USE OF REQUISITION CHANNELS FOR SECURING ITEM

FUND CERTIFICATION

The supplies and services listed on this request are properly chargeable to the following allotments, the available balances of which are sufficient to cover the cost thereof, and funds have been committed

14. ITEM	15. DESCRIPTION OF SUPPLY OR SERVICES	16. QUANTITY	17. UNIT	18. ESTIMATED UNIT PRICE a	18. ESTIMATED TOTAL COST b

19. ACCOUNTING CLASSIFICATION AND AMOUNT

20. TYPED NAME AND TITLE OF CERTIFYING OFFICER
21. SIGNATURE
22. DATE

23. DISCOUNT TERMS

24. PURCHASE ORDER NUMBER

25. THE FOREGOING ITEMS ARE REQUIRED NOT LATER THAN AS INDICATED ABOVE FOR THE FOLLOWING PURPOSE

26. DELIVERY REQUIREMENTS

ARE MORE THAN 7 DAYS REQUIRED TO INSPECT AND ACCEPT THE REQUESTED GOODS OR SERVICES
YES ☒ NO ☐

IF YES, NUMBER OF DAYS REQUIRED

27. TYPED NAME AND GRADE OF INITIATING OFFICER
28. SIGNATURE
29. DATE
30. TELEPHONE NUMBER

31. TYPED NAME AND GRADE OF SUPPLY OFFICER
32. SIGNATURE
33. DATE

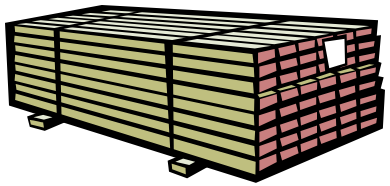
34. TYPED NAME AND GRADE OF APPROVING OFFICER OR DESIGNEE
35. SIGNATURE
36. DATE

DA FORM 3953, MAR 91
EDITION OF AUG 76 IS OBSOLETE
USAPPC V2.00

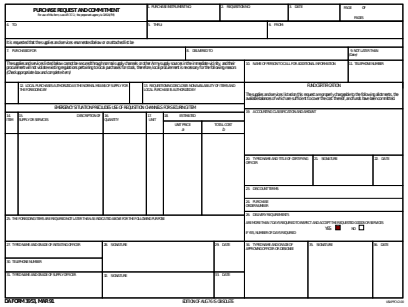
Purchase Request and Commitment
DA 3953

- Commitment document
- Starts the formal procurement process
- Validation required by Logistics or other staff
- RM impact:
  - Funds are authorized to for the purpose, time, an
  - You are stating that this is legal to do

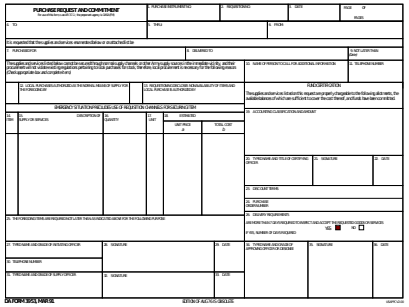
DA 3953 Flow



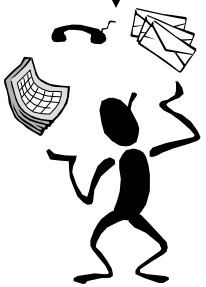
Class IV Material
EOR 26EB



G4 Validation
Authorization to
Buy



RM Fund Cert &
Commit



KO
Acquistion

Contract
Obligate

NSFOP

OBL AE/E DISB
100 121 121

1101 975 975

Monitor

Payment

SF 33

SOLICITATION, OFFER AND AWARD	1. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 700)	RATING	PAGE OF PAGES
2. CONTRACT NUMBER	3. SOLICITATION NUMBER	4. TYPE OF SOLICITATION ☐ SEALED BID (IFB) ☐ NEGOTIATED (RFP)	5. DATE ISSUED	6. REQUISITION/PURCHASE NUMBER
7. ISSUED BY CODE		8. ADDRESS OFFER TO *(If other than Item 7)*	

NOTE: In sealed bid solicitations "offer" and "offeror" mean "bid" and "bidder".

SOLICITATION

9. Sealed offers in original and _____ copies for furnishing the supplies or services in the Schedule will be received at the place specified in Item 8, or if handcarried, in the depository located in _____ until _____ local time _____ *(Hour)* *(Date)*

CAUTION - LATE Submissions, Modifications, and Withdrawals: See Section L, Provision No. 52.214-7 or 52.215-1. All offers are subject to all terms and conditions contained in this solicitation.

10. FOR INFORMATION CALL:	A. NAME	B. TELEPHONE *(NO COLLECT CALLS)* AREA CODE	NUMBER	EXT.	C. E-MAIL ADDRESS

11. TABLE OF CONTENTS

(X)	SEC.	DESCRIPTION	PAGE(S)	(X)	SEC.	DESCRIPTION	PAGE(S)
		PART I - THE SCHEDULE				PART II - CONTRACT CLAUSES	
	A	SOLICITATION/CONTRACT FORM			I	CONTRACT CLAUSES	
	B	SUPPLIES OR SERVICES AND PRICES/COSTS				PART III - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACH.	
	C	DESCRIPTION/SPECS./WORK STATEMENT			J	LIST OF ATTACHMENTS	
	D	PACKAGING AND MARKING				PART IV - REPRESENTATIONS AND INSTRUCTIONS	
	E	INSPECTION AND ACCEPTANCE			K	REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF OFFERORS	
	F	DELIVERIES OR PERFORMANCE					
	G	CONTRACT ADMINISTRATION DATA			L	INSTRS., CONDS., AND NOTICES TO OFFERORS	
	H	SPECIAL CONTRACT REQUIREMENTS			M	EVALUATION FACTORS FOR AWARD	

OFFER *(Must be fully completed by offeror)*

NOTE: Item 12 does not apply if the solicitation includes the provisions at 52.214-16, Minimum Bid Acceptance Period.

12. In compliance with the above, the undersigned agrees, if this offer is accepted within _____ calendar days *(60 calendar days unless a different period is inserted by the offeror)* from the date for receipt of offers specified above, to furnish any or all items upon which prices are offered at the price set opposite each item, delivered at the designated point(s), within the time specified in the schedule.

13. DISCOUNT FOR PROMPT PAYMENT *(See Section I, Clause No. 52.232-8)*	10 CALENDAR DAYS (%)	20 CALENDAR DAYS (%)	30 CALENDAR DAYS (%)	CALENDAR DAYS (%)

14. ACKNOWLEDGMENT OF AMENDMENTS *(The offeror acknowledges receipt of amendments to the SOLICITATION for offerors and related documents numbered and dated):*	AMENDMENT NO.	DATE	AMENDMENT NO.	DATE

15A. NAME AND ADDRESS OF OFFEROR	CODE	FACILITY	16. NAME AND TITLE OF PERSON AUTHORIZED TO SIGN OFFER *(Type or print)*

15B. TELEPHONE NUMBER AREA CODE	NUMBER	EXT.	☐ 15C. CHECK IF REMITTANCE ADDRESS IS DIFFERENT FROM ABOVE - ENTER SUCH ADDRESS IN SCHEDULE.	17. SIGNATURE	18. OFFER DATE

AWARD *(To be completed by Government)*

19. ACCEPTED AS TO ITEMS NUMBERED	20. AMOUNT	21. ACCOUNTING AND APPROPRIATION

22. AUTHORITY FOR USING OTHER THAN FULL AND OPEN COMPETITION: ☐ 10 U.S.C. 2304(c) ( ) ☐ 41 U.S.C. 253(c) ( )	23. SUBMIT INVOICES TO ADDRESS SHOWN IN *(4 copies unless otherwise specified)*	ITEM

24. ADMINISTERED BY *(If other than Item 7)* CODE	25. PAYMENT WILL BE MADE BY CODE

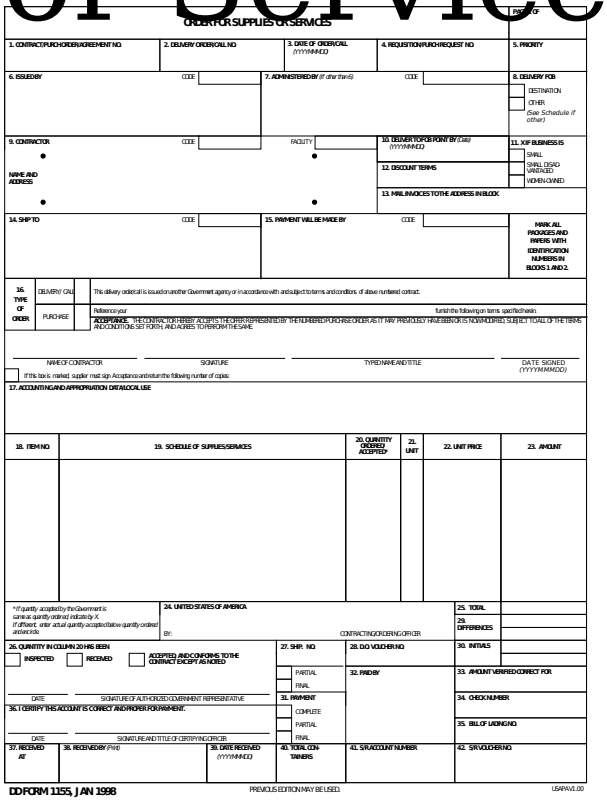
26. NAME OF CONTRACTING OFFICER *(Type or print)*	27. UNITED STATES OF AMERICA *(Signature of Contracting Officer)*	28. AWARD DATE

IMPORTANT - Award will be made on this Form, or on Standard Form 26, or by other authorized official written notice.

SF 33 Contract

- Used to solicit bids for supplies and serv
- Serves as the final and approved Contra
- For requirements >$100K
- Obligating Document
  - DD 250 serves as the receiving report (goods or services received)

DD 1155 Order for Supplies or Services



ORDER FOR SUPPLIES OR SERVICES

PAGE OF

1. CONTRACT/PURCHASE/AGREEMENT NO. | 2. DELIVERY ORDER/CALL NO. | 3. DATE OF ORDER/CALL (YYYYMMDD) | 4. REQUISITION/PURCHASE REQUEST NO. | 5. PRIORITY

6. ISSUED BY | CODE | 7. ADMINISTERED BY (If other than 6) | CODE | 8. DELIVERY FOB: DESTINATION / OTHER (See Schedule if other)

9. CONTRACTOR | CODE | FACILITY | NAME AND ADDRESS | 10. DELIVER TO FOB POINT BY (Date) (YYYYMMDD) | 11. X IF BUSINESS IS: SMALL / SMALL DISADVANTAGED / WOMEN-OWNED | 12. DISCOUNT TERMS | 13. MAIL INVOICES TO THE ADDRESS IN BLOCK

14. SHIP TO | CODE | 15. PAYMENT WILL BE MADE BY | CODE | MARK ALL PACKAGES AND PAPERS WITH IDENTIFICATION NUMBERS IN BLOCKS 1 AND 2.

16. TYPE OF ORDER: DELIVERY / CALL — This delivery order/call is issued on another Government agency or in accordance with and subject to terms and conditions of above numbered contract.

PURCHASE — Reference your ____ furnish the following on terms specified herein.

ACCEPTANCE. THE CONTRACTOR HEREBY ACCEPTS THE OFFER REPRESENTED BY THE NUMBERED PURCHASE ORDER AS IT MAY PREVIOUSLY HAVE BEEN OR IS NOW CORRECTED, SUBJECT TO ALL OF THE TERMS AND CONDITIONS SET FORTH, AND AGREES TO PERFORM THE SAME.

NAME OF CONTRACTOR | SIGNATURE | TYPED NAME AND TITLE | DATE SIGNED (YYYYMMDD)

If this box is marked, supplier must sign Acceptance and return the following number of copies:

17. ACCOUNTING AND APPROPRIATION DATA/LOCAL USE

18. ITEM NO.	19. SCHEDULE OF SUPPLIES/SERVICES	20. QUANTITY ORDERED/ ACCEPTED*	21. UNIT	22. UNIT PRICE	23. AMOUNT

*If quantity accepted by the Government is same as quantity ordered, indicate by X. If different, enter actual quantity accepted below quantity ordered and encircle.

24. UNITED STATES OF AMERICA — BY: CONTRACTING/ORDERING OFFICER

25. TOTAL

26. DIFFERENCES

26. QUANTITY IN COLUMN 20 HAS BEEN: INSPECTED / RECEIVED / ACCEPTED, AND CONFORMS TO THE CONTRACT EXCEPT AS NOTED

DATE | SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE

27. SHIP. NO. — PARTIAL / FINAL

28. DO VOUCHER NO.

30. INITIALS

32. PAID BY

33. AMOUNT VERIFIED CORRECT FOR

31. PAYMENT: COMPLETE / PARTIAL / FINAL

34. CHECK NUMBER

35. BILL OF LADING NO.

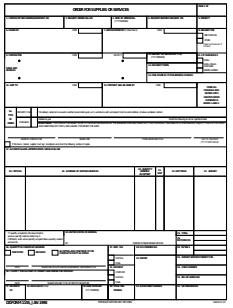
36. I CERTIFY THIS ACCOUNT IS CORRECT AND PROPER FOR PAYMENT.

DATE | SIGNATURE AND TITLE OF CERTIFYING OFFICER

37. RECEIVED AT	38. RECEIVED BY (Print)	39. DATE RECEIVED (YYYYMMDD)	40. TOTAL CONTAINERS	41. S/R ACCOUNT NUMBER	42. S/R VOUCHER NO.

DD FORM 1155, JAN 1998 — PREVIOUS EDITION MAY BE USED. — USAPAV1.00

DD 1155



- Multiple purpose/use document
- Acquisition tool using simplified procedures
- Serves as a:

  (1) Purchase order or blanket purchase agreement;

  (2) Delivery order or task order;

  (3) Receiving and inspection report;

  (4) Property voucher;

  (5) Document for acceptance by the supplier; and

  (6) Public voucher, when used as—

    (i) A delivery order;

    (ii) The basis for payment of an invoice

    (iii) A purchase order for acquisitions using simplified acquisition

- Obligating Document for RMs
- Flow varies widely

Standard Form 44

U. S. GOVERNMENT
PURCHASE ORDER-INVOICE-VOUCHER

DATE OF ORDER: 7 APRIL 19**
ORDER NO.: 127-167

PRINT NAME AND ADDRESS OF SELLER (Number, Street, City, and State)*

PAYEE
Johnson Office Supply
1245 Lee Road
Richmond Hill, GA 31324

FURNISH SUPPLIES OR SERVICES TO (Name and address)
S1, ADJ
HQS, 1/91ST MECH, INF,
FORT STEWART, GA 31314

SUPPLIES OR SERVICES	QUANTITY	UNIT PRICE	AMOUNT
Paper, 11 x 14	5pk	3.50	17.50
Ribbons, Panasonic	10 ea	5.00	50.00

////RECEIVED IN DAO\\\\
////ACCOUNTS PAYABLE\\\\
//////////15 APR 19**\\\\\\\\\\

PAYMENT DUE DATE: 10 MAY 19**

PAYOR
AGENCY NAME AND BILLING ADDRESS*
DEFENSE ACCOUNTING OFFICE
ATTN: ACCOUNTS PAYABLE
FORT STEWART, GA 31314

TOTAL $67.50
DISCOUNT TERMS
NET 30 DAYS
DATE INVOICE RECEIVED
15 APR 19**

ORDERED BY (Signature and title) R.P. FRAZIER
R.P. FRAZIER, MAJ, IN
PURPOSE AND ACCOUNTING DATA
21*2020 76-9505 117096 Z0-26EB W913BD*0970067/A111 S09076 $67.50

RECEIVED BY (PURCHASER - To sign below for SELLER - Please read instructions on Copy 2)
B. DAVIS
TITLE CPT, AG ADJUTANT
DATE 10 APR **

☐ PAYMENT RECEIVED
☒ PAYMENT REQUESTED $67.50

NO FURTHER INVOICE NEED BE SUBMITTED

SELLER
BY: JACK LENNON
SIGNATURE J LENNON
DATE 10 APR **

I certify that this account is correct and proper for payment in the amount of $67.50
W, GORY, LTC, FC, DAO
(Authorized certifying officer)

DIFFERENCES

AMOUNT VERIFIED CORRECT FOR $67.50
BY HAB

PAID BY CASH
OR

DATE PAID

VOUCHER NO.

* Please INCLUDE ZIP CODE

1. SELLER'S INVOICE

STANDARDD FORM 44a (Rev. 10-83)
PRESCRIBED BY GSA
FAR (48CFR) 53.213(c)

Standard Form 44

- Used for small Purchase items < $2,500
- Simplify procurement of supplies or services away from duty station
- Used as a contract, receiving report, vendor invoice and payment voucher
- The supplies or services are immediately available
- There is only one delivery and one payment

DD 2406

MISCELLANEOUS OBLIGATION DOCUMENT *(Use reverse side for continuation of partial payment recorded)*	1. MISCELLANEOUS OBLIGATION DOCUMENT NUMBER	2. ACCOUNTING CLASSIFICATION	3. DATE PREPARED
4. INSTALLATION	5. PREPARED BY		
a. Name	a. Signature	b. Title	
b. Address	6. APPROVED BY		
	a. Signature	b. Title	

7. DESCRIPTION	8. AMOUNT	

9. PARTIAL PAYMENT RECORD	a. Name of vendor or contractor	b. Contract or purchase order number

DATE (1)	DESCRIPTION (2)	OBLIGATION (3)	ACCRUED EXPENDITURE (4)	ACCOUNTS PAYABLE BALANCE (5)	DISBURSEMENT (6)	BALANCE *(X one)* Unliquidated Undelivered (7)

DD FORM 2406, OCT 85

USAPPCV1.00

DD 2406 Miscellaneous Obligation Document

- Used for anticipated requirements
  - estimates
  - contingent liabilities

- Record an obligation when a hard copy unavailable

- Initial obligation when needed
  - Must reverse or deobligate when actual obligation present

Obligating Documentation

- Task: Identify the process and purpose of obligating documents.
- Conditions: Given a scenario and form.
- Standards: IAW DFAS 37-1